

SECTION 4 - FEDERAL CATALOG SYSTEM PRINCIPLES OF OPERATIONS  
AND GENERAL INSTRUCTIONS

SUBSECTION 40 - REFERENCES

The following references are primarily applicable to policies cited in this section:

- a. DoD 4100. 38-M, DoD Provisioning and Other Preprocurement Screening Manual.
- b. DoD Instruction 5100.63, Provisioning Relationships Between the Military Departments and Defense Agencies and Commodity Integrated Materiel Managers.
- c\* DoD Directive 4140.40, Basic objectives and Policies on Provisioning of End Items of Materiel.

SUBSECTION 41 - PURPOSE

The purpose of this section is to furnish policy/procedural guidance covering the assignment of National Stock Numbers (NSNs) and Permanent System Control Numbers (PSCNs), provisioning and other preprocurement screening, and the processing of revisions, transfers, changes, cancellations, and reinstatements of existing catalog data.

SUBSECTION 42 - SCOPE

The policy /instructions contained herein apply to all participants in the Federal Catalog System and are mandatory for the Department of Defense (DoD) including the Military Services, Defense Supply Agency (DSA), Defense Nuclear Agency (DNA), and National Security Agency (NSA).

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**431.01 NSNS are assigned to items of personal property** in the DoD supply system base/, on criteria in Section 1 of this manual (see paragraph 132.02).

**431.02 PSCNS** are assigned within the scope defined in Section 2, paragraph 231.07 of this manual.

**431.03 Provisioning and Other Preprocurement Screening**

a. **Purpose** . Provisioning and other preprocurement screening is prescribed for items being recommended or selected as support items which are identifiable by reference numbers, as defined in subparagraph **431.03c**, and for which NSNS are unknown, will be screened against the Central Catalog File to ascertain whether NSNS have been previously assigned. For **items** which have NSNS associated with their identification, the Central Catalog File **shall** be screened to validate these NSNS. Further, through reference number relationships existing in the Central Catalog File, items may frequently be associated with **similar** items which may be satisfactory for use in lieu of the items being recommended or considered for procurement. DoD components will not routinely prepare and submit provisioning screening requests to **DLSC**, or arrange for their preparation and submission by contractors, for items not selected by Inventory Control Points (**ICPs**) as support items or not being recommended by the contractor as support items through the provisioning process. This restriction is not intended to deny the use of the provisioning screening process for routine file update and validation by the **ICPs**.

b. **Results**. When this master file screening process reveals existing NSNS, normal cataloging and related item entry control operations can be eliminated or simplified. A step in this process is to screen these NSNS against **asset** data as reported in accordance with DoD Directive 4140.34, Department of Defense Personal Property Utilization Program. This process will reveal available assets for potential materiel utilization purposes.

c. **Reference Number**. A Reference Number is any number, other than an activity stock number, used to identify an item of production or, either by itself or in conjunction with other reference numbers, to identify an item of supply. Reference numbers include manufacturers' part, drawing, model, type, source controlling or specification controlling numbers, and the manufacturer's trade name, when the manufacturer identifies the item by trade name only; North Atlantic Treaty Organization (NATO) stock numbers; specification or standard numbers; and specifications or standard part, drawing, or type numbers.

d. **Provisioning and Other Preprocurement Screening**. DoD components shall assure that provisioning and other preprocurement screening will be applied to all items which are being recommended or considered for procurement, as herein prescribed, to determine the availability of existing NSNS and additional DoD logistics information, including the availability of assets in the **DoD supply** system.

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(1.) Each DoD component will assure that its provisioning activities, prior to procurement and cataloging action:

(a) Prepare and submit provisioning screening requests directly to the Defense Logistics Services Center (DLSC), or arrange for contractors to make direct **submissions** to the DLSC of the uniform provisioning **screening** data in accordance with DoD 4100.38-M, The DoD Provisioning and Other Preprocurement Screening Manual. The requirements for the use of this manual and any supplementary data needed by DoD components will be cited on DD Form 1423, Contractor Data Requirements List, for inclusion in all contracts where provisioning screening data are to be prepared by contractors.

(b) Submit, or arrange for the submission of, all known reference numbers and related NSNs, if available, for each item for validation, except as noted in subparagraphs 431.03e (1) (a) and (b).

(c) Designate the provisioning activity or other DoD activity and/or the contractor that are to receive the Federal Catalog data revealed from provisioning screening.

(d) Specify the time limits within which screening must be accomplished to meet provisioning time schedules.

(e) Review DLSC Provisioning Screening output to determine suitability of the match condition revealed. The match conditions specified below are defined in DoD 4100.38-M, DoD Provisioning and Other Preprocurement Screening Manual. If the NSN matched reflects an Actual or Exact match, the NSN may be used for the item of supply submitted. If the kind of match indicated is either a Probable, Possible or Partial match condition a thorough review of the NSNS output will be required prior to selection of the NSN for the item of supply submitted. Whenever none of the NSNS are acceptable for use, the provisioning activity will justify the need for a new NSN by assigning a justification code to the items. The justification code will be included in the request for the assignment of a new NSN, or when preparing a Provisioning Supply Support Request (SSR) in accordance with DoDD 4140.25, Integrated Materiel Management of Consumable Items, as implemented by DoD 4140.26-M, Defense Integrated Materiel Management Manual for Consumable Items, Volume 1. The match conditions specified below are defined in DoD 4100.38-M.

(f) Take steps to eliminate procurement through the use of available supply system assets in accordance with DoD Directives 4140.40, Provisioning of End Items of Material, and 4160.21, DoD Personal Property Utilization and Disposal Program, when screening reveals the availability of such assets for existing NSNS, and the NSNS are validated by the provisioning activity. This step will be taken immediately prior to initiating procurement action or preparation of Military Interdepartmental Purchase Request (MIPR).

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(2) Each DoD component shall assure that its Inventory Control Points (ICPs), prior to procurement or cataloging actions for items being recommended or considered for procurement other than during provisioning:

(a) Prepare and submit screening requests directly to DLSC; and

(b) As applicable, perform actions set forth in subparagraphs 431.03 d (1) (b), (c), (d), (e) and (f).

e. Exclusions.

(1) DoD Components will not routinely prepare and submit provisioning screening requests to DLSC, or arrange for their preparation and submission by contractors, for items not selected by ICPs as support items or not being recommended by the contractor as support items through the provisioning process. This restriction is not intended to deny the use of the provisioning screening process for routine file update and validation by the ICPs.

(2) The following items are excluded from the screening requirements stated herein:

(a) Items assigned manufacturers' part numbers, government specifications, and type numbers which are not item identifying (i.e., numbers that do not identify specific items of production or items of supply).

(b) Items assigned part numbers by manufacturers who have not been assigned Federal Supply Codes for Manufacturers (FSCMs) in Cataloging Handbooks H4-1 and H4-3.

(3) These policies are not applicable to those Foreign Military Sales cases in which the U. S. Government acts solely as a purchasing agent for equipment types not common to U. S. Forces and not programmed for follow on support through the U. S. logistics system. Preprocurement screening for NSNs and available assets is not required when it is known that U. S. Forces have not and will not purchase like equipment. Preprocurement screening may be accomplished, however, when the equipment being procured is known to have support items common to equipment used by U.S. Forces.

431.04 Possible Duplicate Item of Supply Concepts.

An item of supply concept expressed by an existing Federal Item Identification (FII) shall be considered a possible duplication of a proposed item identification or another existing FII when (1) there is enough similarity in characteristics data and/or (2) there is one or more common FSCM/item identifying reference number(s)/Reference Number Category Code (RNCC) and Reference Number Variation Code (RNVC), related to each item to indicate that the same item of production is involved. Such cases warrant reference to the Primary Inventory Control Activity/Secondary Inventory Control Activity (PICA/SICA) for verification of characteristics data and/or manufacturer's reference number to determine duplication. Reconciliation of such data normally will result in revision of one or both concepts to more clearly differentiate the items or in a proposal to cancel one of the item identifications either as actual duplicate or as invalid, or to be used in lieu of another item identification (Cancel-Use).

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**431.05 Actual Duplication of Item of Supply Concepts.**

For the assignment of **an existing NSN** to a proposed item identification and for the processing of **cancellation actions** under the condition stated in paragraph **233.06b (2)**, the actual duplication of item of supply concepts **is** defined to include and be limited to the following situations:

a. The concepts expressed by **item** identifications which match in **characteristics** and for which there are no applicable reference numbers.

b. The concepts expressed by item identifications which, regardless of characteristic data, match in reference numbers as follows:

(1) Match of Source Control references. Matching of other related reference **is not required.**

(2) Match of references which on one item identification the number **is** identified as a Source Control reference and on the other **an** item identifying **Design Control** reference. Match of other related references is not required.

(3) Match of definitive U. S. Government specification or **standard** references. Match of other related references is not required. Also included under this condition **is** the match of definitive specification designator reference for **items** conforming to an uncoordinated specification revision or amendment. This **is** signified by the application of Reference Number Variation Code "1" to the same specification designator reference on both Item identifications.

(4) Match of all item identifying design control references and the only unmatched references are Secondary, Informative, Specification **Control** or NATO Reproduced Item Reference Numbers.

(5) Match of **all** item identifying references regardless of kind.

**431.06 Assignment of Existing National Item Identification Number (NIIN) and NSN.**

An existing NIIN or NSN shall be assigned to a proposed new Item identification only in the event of actual duplication.

**431.07 Assignment of New NIIN and NSN.**

A new NIIN, and consequently a new NSN, shall be assigned by the DLSC or participating National Codification Bureau (NCB) to every submitted processable proposed new **item** identification that is not an actual duplicate or a possible duplicate of an **existing FII**, except where a PSCN is requested and allowed. (This is only effected after the actions stated in subparagraphs 132.05 and/or 132.06 have been taken. )

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431.08 Retention of Existing NIIN and NSN

When a FII is changed, the NIIN shall be retained. (The entire NSN will be retained, unless the Federal Supply Classification Class Code (FSC) number is changed in the process.)

431.09 Permanent System Control Numbers (PSCNs)

a. The assignment of Standardization PSCNs shall be restricted to the Type 1 method of item identification.

b. A NSN shall not be cancelled (Cancel-Duplicate, Cancel-Use) in favor of a PSCN.

431.10 Use of Reference Numbers and/or Differentiating Characteristics to Reveal Item of Supply Concept Relationships

Reference numbers and/or differentiating characteristics for FIIs shall be used for revealing item of supply concept duplications, similarities, and other relationships.

431.11 Collaboration/Coordination

a. The following conditions shall be collaborated: \*

(1) A proposed change to the characteristic data which will result in a change in the item of supply concept. However, if the change has been previously coordinated with all data collaborators and the responsible activity, such as the Engineering Support Activity or the Preparing Activity, it need not be reCOORDINATED. \*

(2) All cancellation actions except "actual duplicate" (see paragraph 431.05 for the definition of actual duplication of item of supply concept). \*

NOTE 1: All cancellation actions that result in a change in the PICA\* and/or SICA shall be collaborated with all data collaborators.

NOTE 2: For cancel - use, and cancel - invalid when a NATO/foreign country is recorded on the item, the activity proposing the cancellation shall collaborate with DLSC, who will collaborate with the applicable country. This collaboration will be accomplished by DLSC subsequent to submittal of the proposed cancellation action. \*

(3) FSC changes which result in a change in the PICA and/or SICA. \* In addition to collaboration with recorded users, collaboration will also be accomplished with the gaining WIMM or CIMM.

(4) The following reference number actions (additions, deletions or changes): \*

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- \* (a) RNCC 3 (design control reference) except for addition of a new RNCC 3 reference number as a result of a coordinated procurement action, i.e., it has been coordinated with the data collaborators and the responsible Engineering Support Activity. RNCC - 3 references may also be changed without coordination if the change is as a result of the manufacturer changing his part numbering system.
- \* (b) RNCC 1 (source control reference) or RNCC 2 (definitive Government specification or standard designator reference).
- \* (5) Changes to the type of item identification except for those transfers specifically exempted in paragraph 431.11b(5).
- \* b. Collaboration is not required for the following:
  - \* (1) When the revision, consolidation, or cancellation and replacement of a coordinated specification *or* standard FIIG revision has been concurred in by all interested activities, a FII may be revised without collaboration provided (1) only the reply to the specification/standard requirement is changed, and (2) no change is made to the item of supply concept of the affected NSNS in the reference number portion of the cataloging record when the reference number is item identifying.
  - \* (2) When the action results from an item reduction study. (Only those cataloging actions that have been documented and coordinated within the study, i.e., coordinated cancellations because of invalid reference data, cancel - invalid cancel-duplicate actions, and coordinated reference data deletions, additions or changes.)
  - \* (3) When the manufacturer changes his part numbering system.
  - \* (4) When the manufacturer(s) is no longer in business or no longer manufactures the item, reference numbers may be recoded to RNCC-5/RNVC-9 without collaboration. However, the last reference number on file may not be changed.
  - \* (5) A Type 2 item identification is being transferred to a Type 1, 1a, 4 or 4a item identification; a Type 4 item identification is being transferred to a Type 1 item identification; a Type 4a item identification is being transferred to a Type 1a item identification; or a Type 4b item identification is being transferred to a Type 1b item identification.

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SICA. (6) FSC changes that do not result in a change in the PICA and/or \*

(7) If an obvious error (such as the item identification does not agree with the technical documentation) is being corrected or if the change has previously been coordinated with all data collaborators and the responsible activity such as the Engineering Support Activity. \*

(8) Addition of a new RNCC-3 reference number need not be collaborated if it meets the criteria specified in paragraph 431.11(4)(a). \*

(9) Cancel.-duplicate actions for an actual duplicate item of supply need not be collaborated if it does not involve a change in the PICA and/or SICA. \*

c. General Rules on Collaboration: \*

(1) Indication of collaboration does not have to be furnished DLSC unless specifically indicated in the DIDS Procedures Manual. However, activities are required to produce evidence of collaboration upon request, and will retain such evidence for a period of one year. \*

(2) An activity forwarding a proposal for collaboration shall forward documentation when it is known that the data is not available at the collaborating activity.

(3) A collaborating activity shall request additional data when available data is not adequate.

(4) The following documents do not have to be forwarded as part of the data package in a collaboration proposal:

(a) Federal Specification: and Standards.

(b) Military Specifications and Standards.

(c) Documents containing copyright or reproduction restrictions.

(d) Documents available at the collaborating activity.

(e) Documents under the design control of an activity within the same Service as the collaborating activity.

(f) Items in commercial catalogs.

(5) Other than the exceptions noted in subparagraph (4) above, the collaborating activity shall forward in a single package all of the data which the receiving activity does not have and is necessary to review the proposal. If this cannot be effected by DCS AUTODIN then the proposal shall be mailed.

(6) If possible, activities shall reply to collaboration requests prior to the maximum timeframes set forth in paragraph 431.11f(2). A statement \*



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of concurrence, nonconcurrence, or no interest **shall** be **returned** to the proposing activity. If the proposing activity does not receive a response within the allotted timeframes, a reply of no interest shall be assumed. If the proposal causes a **MOE** Rule add, change or delete, a reply **within** the time frames is mandatory in accordance with paragraphs **531.09b**, **531.12c(1)** and **531.12c(2)**.

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d. Determination of Activity Responsible for Effecting Collaboration \*

(1) Activities designated as single submitters Category A and B, see Appendix A to this manual, shall collaborate changes to items for which they are responsible regardless of whether the responsibility is made on a Class or on a by item basis. Otherwise, activities designated as authorized **submitters** in accordance with DoD 4100.39-M, DIDS Procedures Manual, shall collaborate changes.

(2) Civil Agency Proposals - The GSA shall submit all civil agency proposals directly to DLSC, other than those originated by FAA or the Coast Guard. The **FAA** and the Coast Guard shall submit proposals directly to DLSC, except when receiving supply support from an Integrated Material Manager, subsequent to necessary collaboration.

e. Communications Media. The activity responsible for effecting the collaboration may use either mail or the Defense Communications System Automatic Digital Network (DCS AUTODIN). \*

f. Collaboration Timeframes: \*

(1) Activities responsible for effecting collaboration shall forward collaboration requests to receiving activities within 15 workdays after receipt from the originating activity.

(2) Responses to proposals that are collaborated shall be returned within 60 days after date of initiation of the proposal except when DLSC-FD is required to collaborate with NATO or other foreign countries. Response by DLSC-FD will be within 90 days after the date of initiation. \*

(3) Upon concurrence by all interested activities the collaborating activity shall forward the cataloging request to DLSC within 20 workdays.

g. Nonconcurrence in Proposed Revision or Change as a Result of Collaboration. \*

(1) When an activity collaborating a proposal to revise or otherwise change existing catalog data is unable to complete such revisions or change as a result of another collaborating activity's(s') nonconcurrence with justification or other prohibitive developments subsequent to collaboration, it shall be the responsibility of the initiating collaborating activity to advise the collaborating activities originally contacted that the proposed action will not be accomplished and to provide a brief explanation.

(2) When an activity collaborating a proposal to revise or otherwise change existing catalog data is unable to reconcile differences with nonconcurring collaborating activities and desires to submit the proposal to DLSC for resolution, the initiating collaborating activity shall submit to DLSC a copy of the collaboration letter and all replies thereto. It shall be the responsibility of DLSC to provide a brief explanation to the collaborating activities originally contacted by the initiating collaborating activity if the proposal is disapproved.

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by DLSC *or* DLSC cannot reconcile the action.

h. Emergency Collaboration. If the action being collaborated is delaying procurement or otherwise has a detrimental effect on supply support, collaboration may be affected by telephone or electrical message. This shall only be accomplished when the collaboration does not require submission of technical data and/or the data collaborators can be provided the applicable information by telephone or message. \*

431.12 Assignment of Interim Stock Numbers

In the event the DLSC is unable to process cataloging actions during a declared emergency, the DLSC is to notify each cataloging activity participating in the Federal Catalog System of this condition. Upon receipt of this notification, the procedure for interim stock number assignment contained in the DIDS Procedures Manual (DoD 4100,39-M) shall be utilized.